

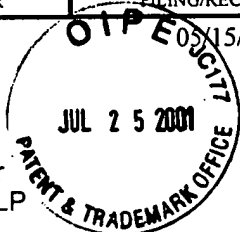


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/855,030	03/15/2001	Tetsuro Asano	492322001000

Barry E. Bretschneider  
Morrison & Foerster LLP  
Suite 5500  
2000 Pennsylvania Avenue, N.W.  
Washington, DC 20006-1888



CONFIRMATION NO. 7974

## FORMALITIES LETTER



\*OC000000006304258\*

Date Mailed: 07/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

07/26/2001 JBALINAM 00000047 031952 09855030

01 FC:101 710.00 CH  
02 FC:105 130.00 CH

*A copy of this notice MUST be returned with the reply.*

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#14

Sector  
#3

PATENT  
Docket No. 492322001000

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on July 25, 2001.

*Marieta Luke*  
Marieta Luke

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Tetsuro ASANO et al.

Serial No.: 09/855,030

Filing Date: May 15, 2001

For: COMPOUND SEMICONDUCTOR  
DEVICE FOR SWITCHING

Examiner: to be assigned

Group Art Unit: 2838

**TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In complete response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d) dated July 17, 2001, Applicants as a large entity submit herewith the following:

- ☒ Payment of the basic filing fee of \$710.00.
- ☒ A combined Declaration and Power of Attorney signed by the inventor and the surcharge of \$130.00 as set forth in 37 C.F.R. § 1.16(e).
- ☒ Fee Transmittal
- ☒ A Duplicate Copy of Fee Transmittal for Fee Processing.
- ☒ Other: Copy of Notice to File Missing Parts of Non Provisional Application.

The filing fee has been calculated as follows:

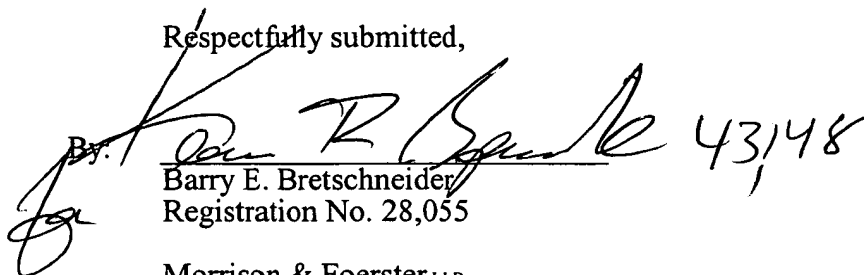
FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	9 - 20 =	0	x \$18.00	\$0.00
INDEPENDENT CLAIMS	2 - 3 =	0	x \$80.00	\$0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$0.00
			BASIC FEE	\$710.00
			TOTAL OF ABOVE CALCULATIONS =	\$710.00
Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28). If applicable, verified statement must be attached.				\$0.00
SURCHARGE FOR FILING MISSING PARTS				\$130.00
			TOTAL =	\$840.00

☒ Charge \$840.00 to Deposit Account No. 03-1952.

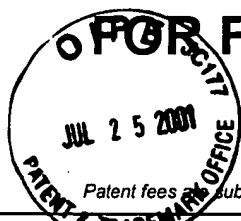
The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to Deposit Account No. 03-1952.

Dated: July 25, 2001

Respectfully submitted,

By:  43148  
Barry E. Bretschneider  
Registration No. 28,055

Morrison & Foerster LLP  
2000 Pennsylvania Avenue, N.W.  
Washington, D.C. 20006-1888  
Telephone: (202) 887-1545  
Facsimile: (202) 263-8396

**FEE TRANSMITTAL****FOR FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)**840.00****Complete if Known**Application Number **09/855,030**Filing Date **May 15, 2001**First Named Inventor **Tetsur ASANO et al.**Examiner Name **to be assigned**Group Art Unit **2838**Attorney Docket No. **492322001000****METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number**03-1952**Deposit  
Account  
Name**Morrison & Foerster LLP**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	<b>710.00</b>
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) **(\$)**710.00******2. EXTRA CLAIM FEES**

	Total Claims	9	-20** =	0	x	Fee from below	=	Fee Paid
Independent Claims	2	-3** =	0	x	80.00	=		<b>\$0.00</b>
Multiple Dependent					270.00	=		<b>\$0.00</b>

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claims, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) **(\$)**0.00****

\*\* or number previously paid, if greater; For reissues, see above.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	<b>130.00</b>
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$)**130.00******SUBMITTED BY**

Name (Print/Type)

**Barry E. Bretschneider**Registration No.  
(Attorney/Agent)**28,055****Complete (if applicable)**

Telephone

**202-887-1545**

Signature

Date

**July 25, 2001**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



0400 ~~Section~~  
08/14/01 PATENT  
Docket No. 492322001000

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on July 25, 2001.

*Marieta Luke*  
Marieta Luke

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Tetsuro ASANO et al.

Serial No.: 09/855,030

Filing Date: May 15, 2001

For: COMPOUND SEMICONDUCTOR  
DEVICE FOR SWITCHING

Examiner: to be assigned

Group Art Unit: 2838

**SUBMISSION OF FORMAL DRAWINGS IN RESPONSE TO NOTICE TO FILE  
MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed are Nine (9) sheets of formal drawings in connection with this application, in Response to Notice to File Missing Parts dated July 17, 2001.

Respectfully submitted,

Dated: July 25, 2001

By:

*Barry E. Bretschneider* 43148  
Barry E. Bretschneider  
Registration No. 28,055

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